

COMPLIANCE AND REGISTRATION TECHNICIAN ROLE

Role Summary

The Compliance and Registration Technician Role consists of two grade levels (11 and 12). Incumbents research, request, and verify all pertinent documentation for determining whether an applicant meets the qualifications required under applicable licensing and/or registration rules, statutes, case history, and investigations. Primary contacts are division administrator, bureau chief, unit manager, accountants, attorneys, other state agencies, state and local governments, private businesses, and internal/external customers.

Working Conditions

Situations encountered may be high pressure, confrontational, and verbally combative. Ability to work under extreme pressure and high stress situations and circumstances with back-to-back meeting dates, examination deadlines, investigations, hearings, renewal periods, etc. Considerable time is spent at a computer terminal.

Education and Experience

- Grade 11: competencies and degrees of proficiency are typically acquired through a combination of education and experience equivalent to graduation from high school and two years of Montana tax experience, including one year of experience interpreting and applying Montana rules and regulations. Other combinations of education and experience will be evaluated on an individual basis.
- Grade 12: competencies and degrees of proficiency are typically acquired through a combination of education and experience equivalent to graduation from high school and four years of Montana tax experience, including three years of experience interpreting and applying Montana rules and regulations. A four-year degree with a business emphasis is preferred. Other combinations of education and experience will be evaluated on an individual basis.

Department Core Competencies

In addition to the role specific competencies, there are four, department core competencies that all employees are expected to successfully achieve. These are:

- *Interpersonal Skills:* Builds constructive and effective relationships with internal and external customers and is committed to meeting customer needs in a timely and accurate manner. Listens actively and attentively and demonstrates an appreciation of other perspectives. Builds the appropriate rapport required to do business. Openly demonstrates an understanding of and respect for the value of co-workers' contributions to the department mission.
- *Decision-Making and Accountability:* Considers the department's vision, mission, and values in making decisions and taking actions. Identifies and considers possible alternatives before making decisions. Bases decisions on achieving desired outcomes pursuant to the departmental business plan or management direction. Uses a combination of analysis, experience, and sound judgment that results in fairness and consistency, while being accountable for actions. When serious ethical issues are at stake, takes all necessary actions.

- *Commitment to Continuous Improvement:* Ability and willingness to continually seek greater efficiency in agency programs, is results driven, and meets changing requirements in work or direction. Adapts to changing conditions and work responsibilities. Accepts constructive criticism and suggestions and uses them to improve performance.
- *Personal and Work Ethics:* Creates own measures of excellence, and practices what he/she promotes. Sets goals that provide challenges and measures goal attainment regularly. Displays a contagious optimism about the work to be done. Goes beyond traditional ways to address issues despite obstacles or resistance. Is able to generate ideas, fresh perspectives, and original approaches and engages in open-minded thinking. Employs strategies to promote ideas and proposals to increase probability of acceptance. Mentors others to improve the performance necessary to achieve success. Reflects a belief that the results achieved are a direct result of his/her personal decisions and actions.

Grade Levels

Each grade level lists the essential duties that describe work performed 50 percent or more of the time (predominant work). Established work plans identify day-to-day tasks.

Grade 11

Predominant/Essential Duties

- Verify accuracy of the registration and licensing data on Integrated Revenue Information System (IRIS). Verification is limited to one of the following revenue sources: One Stop licensing, unemployment insurance, tobacco/cigarette tax, liquor licensing, natural resource tax, or corporation tax.
- Resolve 80% of customer requests through IRIS support.
- Update and maintain the registration/licensing accounts.
- Act as expert/specialist in one revenue source. Receive inquiries from Call Center when Call Center is unable to respond.
- Regulate one of the following areas: One Stop licensing, tobacco/cigarette tax, liquor licensing, natural resource tax, or corporation tax by issuing penalties, suspensions, non-granting of renewals, cancellations, denials, revocations, penalties, assessments, transfers of ownership, or awarding licenses.
- Coordinate activities with other state agencies such as Commerce, Health and Human Services, Justice, Labor and Industry, Livestock, Attorney General, and Secretary of State.
- Educate customers on registration requirements for the above-mentioned agencies.
- Maintain statewide consistency for related policies, procedures, and requirements.
- Gather information about possible violations of the applicable statute or rules.
- Identify violations and initiate departmental response to the violation.
- Research applicants.
- Provide technical support for one of the above-mentioned areas.
- Review manager-hiring agreements to ensure compliance and no intent to defraud.
- Review request for physical alterations (floor plan and reasons for consideration).

- Maintain existing licenses by:
 - responding to complaints.
 - issuing written determinations on adverse actions such as denials, violations, revocations, and lapse of license.
 - coordinating and responding to inquiries from other agencies, customers, and the public.

Grade 12

Predominant/Essential Duties

- Verify accuracy of the registration and licensing data on IRIS. Verification of two or more of the following revenue sources: One Stop licensing, tobacco/cigarette tax, liquor licensing, natural resource tax, or corporation tax.
- Resolve 85% of customer requests through IIS support.
- Regulate at least two of the following areas: One Stop licensing, unemployment insurance, tobacco/cigarette tax, liquor licensing, natural resource tax, or corporation tax by issuing penalties, suspensions, non-granting of renewals, cancellations, denials, revocations, penalties, assessments, transfers of ownership, or awarding licenses.
- Develop, update, and maintain the registration/licensing accounts.
- Act as expert/specialist in at least two revenue sources. Receive inquiries from Call Center when Call Center is unable to respond.
- Maintain statewide consistency for related policies, procedures, and requirements.
- Audit information about possible violations of the applicable statutes or rules.
- Audit applicant to identify whether the applicant is eligible for a license.
- Identify violations and initiate departmental response to the violation.
- Research applicants.

Competencies and Degrees of Proficiency

The Competency/Proficiency Chart identifies the role specific competencies, degrees of proficiency, and guidance required for each grade level. Role specific competencies describe the knowledge, skills, and abilities required to perform the essential duties. The degrees of proficiency indicate the difficulty and/or complexity level of the tasks and assignments.

Competency/Proficiency Chart – Compliance and Registration Technician Role

Competencies	Grade 11 Under Guidance	Grade 12 Minimal Guidance
Demonstrated ability to think creatively and recommend innovative solutions.	B	B
Proactively focus efforts and energy on successfully attaining goals and objectives, assuming accountability for decisions, actions, and results. Follow issues through to completion.	B	B
Demonstrated knowledge of statutes, legislative guidelines, and state/department policies and procedures to meet the overall responsibilities of the department's alcohol licensing functions.	B	C
Demonstrated ability to provide timely and effective written, oral, and interpersonal communication.	B	B
Demonstrated knowledge and skill of word processing, spreadsheet, database, and software applications/programs relative to the role.	B	B
Demonstrated knowledge of theories and practices of accounting, including various accounting systems.	B	C
Demonstrated ability to perform investigative research.	A	B
Demonstrated knowledge of licensing and registration requirements.	B	C

Degree of Proficiency

A: A degree of knowledge, skill, or ability commensurate with elementary-level tasks and assignments.

B: A degree of knowledge, skill, or ability commensurate with intermediate-level tasks and assignments.

C: A degree of knowledge, skill, or ability commensurate with advanced-level tasks and assignments.

D: An advanced degree of knowledge, skill, or ability commensurate with considerable experience and the application of the competency to non-standard tasks and assignments.

E: The most advanced degree of knowledge, skill, or ability, evidencing complete mastery and understanding of the subject.